

DECLARATION  
FOR UTILITY PATENT APPLICATION

As a below named inventor, I, Robert Winston, hereby declare that

My residence address is 11 Denman Drive, London NW11 6RE, United Kingdom and I am a citizen of the United Kingdom.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a utility patent application was filed on November 13, 1998, Serial No. 09 191,920 entitled:

TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR  
GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

the specification of which (check one)

\_\_\_\_\_ is attached hereto

  X   a provisional application was filed on November 14, 1997, Serial No. 60 065,825.

  X   a utility patent application was filed on November 13, 1998, Serial No. 09 191,920.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under

Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon

Full name of joint inventor Robert Winston

Inventor's signature Robert Winston

Date 30/12/98 30th December 1998.

Residence 11 Denman Drive, London NW11 6RE, United Kingdom

Citizenship British

Post Office Address Same as above

DECLARATION  
FOR UTILITY PATENT APPLICATION

As a below named inventor, I, Carol W. Readhead, hereby declare that

My residence address is 2185 San Pascual Street, Pasadena, California 91107, and I am a citizen of the United States of America.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a utility patent application was filed on November 13, 1998 entitled:

TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR  
GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

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Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of joint inventor Carol W. Readhead

Inventor's signature Carol W. Readhead

Date 1/5/92

Residence 2185 San Pasqual Street, Pasadena, CA 91107  
se

Citizenship U.S.A.

Post Office Address Same as above

DECLARATION  
FOR UTILITY PATENT APPLICATION

As a below named inventor I, Outi Hovatta, hereby declare that

My residence address is Iirislahdenportti 11, FIN-02230 Espoo, Finland and I am a citizen of Finland.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a utility patent applied was filed on November 13, 1998 entitled:

TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

the specification of which (check one)

☐ is attached hereto

☒ a provisional application was filed on November 14, 1997, Serial No. 60 065,825

☒ a utility patent application was filed on November 13, 1998, Serial No. 09 191,920.

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Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon

Full name of joint inventor Otu Hovatta

Inventor's signature 

Date 31/12/1998

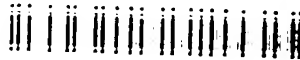
Residence Iirislahtiportti 11, FIN-02230 Espoo, Finland

Citizenship Finnish

Post Office Address Same as above

11-27-1998

File No. P07-41794



100912684

DEPARTMENT OF COMMERCE  
Patent and Trademark

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy there

1. Name of conveying party(ies)

Carol W. Readhead

2. Name and address of receiving party(ies)

Name: Cedar-Sinai Medical Center

Address: 8700 Beverly Boulevard



3. Additional names of conveying party(ies)

☒ Yes ☐ No

3. Nature of conveyance

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

City: Los Angeles

State/Prov.: CA

☐ Other

Country: U.S.A.

ZIP: 90048

Execution Date: January 8, 1998

Additional name(s) & address(es)

☐ Yes ☒ No

4. Application number(s) or registration number(s):

If this document is being filed together with a new application, the execution date of the application is: November 13, 19

Patent Application No

Filing date

B. Patent No.(s)

Additional numbers

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Edward G. Poplawski

Registration No. 33,439

Address: Pretty, Schroeder & Poplawski

444 South Flower Street - 19th Floor

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

City: Los Angeles

State/Prov.: CA

Country: U.S.A.

ZIP: 90071-2909

16-2460

Charge  
40

DO NOT USE THIS SPACE

9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Nisan A. Steinberg, Ph.D., Reg. No. 40,345

Name of Person Signing

Signature

November 13, 1998

Date

Total number of pages including cover sheet, attachments, and

4

11-27-1998

P07-41794



100912683

11-13-98

1. Name of conveying party(ies): Robert Winston  
2. Name and address of receiving party(ies): Imperial College of Science, Technology & Medicine  
Address: Exhibition Road

Additional names of conveying party(ies):

☒ Yes ☐ No

3. Nature of conveyance

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

City: South Kensington State/Prov: London  
Country: United Kingdom ZIP: \_\_\_\_\_

Execution Date: January 23, 1998

Additional name(s) & address(es):

☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: November 13, 1998

Patent Application No

Filing date

B. Patent No (s)

Additional numbers

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Edward G. Poplawski

Registration No: 33,439

Address: Pretty, Schroeder & Poplawski

444 South Flower Street - 19th Floor

City: Los Angeles

State/Prov: CA

Country: U.S.A.

ZIP: 90071-2909

6. Total number of applications and patents involved: ☐

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

16-2460

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Nisan A. Steinberg, Ph.D., Reg. No. 70,345

Name of Person Signing

Signature

November 13, 1998

Date

Total number of pages including cover sheet, attachments, and

4



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of Gary W. Freedman, Robert W. Smith, and J. H. Vatta

Serial No. 08/000,000 assigned

Invention Herein

TITLE: TRANSFECTION, STORAGE, AND TRANSFER OF SMALL GERM CELLS FOR  
GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)—NONPROFIT ORGANIZATION

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Nonprofit	CEDARS-SINAI MEDICAL CENTER
Address of Nonprofit	8700 BEVERLY BOULEVARD LOS ANGELES, CA 90048-1865

TYPE OF NONPROFIT ORGANIZATION

Tax Exempt Under Internal Revenue Service Code (26 USC 501 (a) and 501 (c)(3))

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization, as defined in 37 CFR 1.9(e), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention described in the specification filed herewith, with title as listed above.

I hereby state that rights under contract or law have been conveyed to, and remain with, the nonprofit organization, with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. 1.9(c), if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

No such person, concern, or organization having any rights in the invention exists.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements

were made with the knowledge that within false statements and the like so made are in violation of the  
provisions of the Patent Act, under Section 101 of Title 35 of the United States Code, and that such  
statements may jeopardize the validity of the application and any patent issuing thereon,  
and that the patent to which this verified statement is directed.

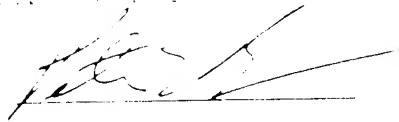
PHILIP E. BRAVERMAN

Senior Vice President and General Counsel

8700 Beverly Boulevard

Los Angeles, CA 90048-1865

SIGNATURE



Date

1/9/95

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Carlo W. Readhead, Robert Winston, and John Howatta  
Serial No. 1 Unassigned

Filed on: Herewith

Title: TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR  
GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)—NONPROFIT ORGANIZATION**

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below

Name of Nonprofit:	IMPEL
Address of Nonprofit:	Imperial College of Science, Technology and Medicine Exhibition Road South Kensington, London SW 7 2AZ United Kingdom

**TYPE OF NONPROFIT ORGANIZATION**

Tax Exempt Under Internal Revenue Service Code (26 USC 501 (a) and 501 (c)(3))

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization, as defined in 37 CFR 1.9(e), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention described in the specification filed herewith, with title as listed above.

I hereby state that rights under contract or law have been conveyed to, and remain with, the nonprofit organization, with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. 1.9(c), if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e)

No such person, concern, or organization having any rights in the invention exists

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

DR. JONATHAN GIFF  
Head of Technology Development  
Imperial College of Science, Technology and Medicine  
Exhibition Road  
South Kensington, London, SW7 2AZ, United Kingdom

SIGNATURE

Jonathan Giff

Date

11/3/98



ASSIGNMENT

WHEREAS Robert Winston, of London, United Kingdom, Assignor, has invented a new and useful TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES for which an application for United States Letters Patent was executed by him on or about the same date as this Assignment; and

WHEREAS, Assignor believes himself to be the original, first and joint inventor along with Carol W. Heathhead of Pasadena, California, and Jari H. Varti of FIN-2231 Espoo, Finland of the invention disclosed and claimed in the application for Letters Patent; and

WHEREAS, Imperial College of Science, Technology and Medicine, having a place of business at Exhibition Rd., South Kensington, London, United Kingdom, Assignee, desires to acquire by formal, recordable assignment the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world;

NOW, THEREFORE, in consideration of the sum of Ten Dollars \$10.00 and of other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor hereby sells, assigns and transfers to Assignee, the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world, including the right to file foreign applications directly in the name of Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignor agrees that, upon request and without further compensation, but at no expense to Assignor, he and his legal representatives and assigns will perform all lawful acts, including the execution of papers and the giving of testimony, that might be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for the invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to the invention, the application, and any Letters Patent granted for the invention in the United States and throughout the world.

Assignor represents and warrants that he has not granted and will not grant to others any rights inconsistent with the rights granted by this Assignment.

Assignor authorizes and requests the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for the invention, whether on the application or on any subsequently filed division, continuation, continuation-in-part or reissue

Applicant's interest was limited and applicant's interest in the law is not a general interest and is not a part of the application, which is a copy of the

DATE 09/19/92 FILE NO. Nov. 13, 1998

121 WINTERGATE WAREHOUSE, 2004-2011, 2014-2015, 2016-2017, 2018-2019, 2020-2021, 2022-2023, 2024-2025, 2026-2027, 2028-2029, 2030-2031, 2032-2033, 2034-2035, 2036-2037, 2038-2039, 2040-2041, 2042-2043, 2044-2045, 2046-2047, 2048-2049, 2050-2051, 2052-2053, 2054-2055, 2056-2057, 2058-2059, 2060-2061, 2062-2063, 2064-2065, 2066-2067, 2068-2069, 2070-2071, 2072-2073, 2074-2075, 2076-2077, 2078-2079, 2080-2081, 2082-2083, 2084-2085, 2086-2087, 2088-2089, 2090-2091, 2092-2093, 2094-2095, 2096-2097, 2098-2099, 2100-2101, 2102-2103, 2104-2105, 2106-2107, 2108-2109, 2110-2111, 2112-2113, 2114-2115, 2116-2117, 2118-2119, 2120-2121, 2122-2123, 2124-2125, 2126-2127, 2128-2129, 2130-2131, 2132-2133, 2134-2135, 2136-2137, 2138-2139, 2140-2141, 2142-2143, 2144-2145, 2146-2147, 2148-2149, 2150-2151, 2152-2153, 2154-2155, 2156-2157, 2158-2159, 2160-2161, 2162-2163, 2164-2165, 2166-2167, 2168-2169, 2170-2171, 2172-2173, 2174-2175, 2176-2177, 2178-2179, 2180-2181, 2182-2183, 2184-2185, 2186-2187, 2188-2189, 2190-2191, 2192-2193, 2194-2195, 2196-2197, 2198-2199, 2200-2201, 2202-2203, 2204-2205, 2206-2207, 2208-2209, 2210-2211, 2212-2213, 2214-2215, 2216-2217, 2218-2219, 2220-2221, 2222-2223, 2224-2225, 2226-2227, 2228-2229, 2230-2231, 2232-2233, 2234-2235, 2236-2237, 2238-2239, 2240-2241, 2242-2243, 2244-2245, 2246-2247, 2248-2249, 2250-2251, 2252-2253, 2254-2255, 2256-2257, 2258-2259, 2260-2261, 2262-2263, 2264-2265, 2266-2267, 2268-2269, 2270-2271, 2272-2273, 2274-2275, 2276-2277, 2278-2279, 2280-2281, 2282-2283, 2284-2285, 2286-2287, 2288-2289, 2290-2291, 2292-2293, 2294-2295, 2296-2297, 2298-2299, 2300-2301, 2302-2303, 2304-2305, 2306-2307, 2308-2309, 2310-2311, 2312-2313, 2314-2315, 2316-2317, 2318-2319, 2320-2321, 2322-2323, 2324-2325, 2326-2327, 2328-2329, 2330-2331, 2332-2333, 2334-2335, 2336-2337, 2338-2339, 2340-2341, 2342-2343, 2344-2345, 2346-2347, 2348-2349, 2350-2351, 2352-2353, 2354-2355, 2356-2357, 2358-2359, 2360-2361, 2362-2363, 2364-2365, 2366-2367, 2368-2369, 2370-2371, 2372-2373, 2374-2375, 2376-2377, 2378-2379, 2380-2381, 2382-2383, 2384-2385, 2386-2387, 2388-2389, 2390-2391, 2392-2393, 2394-2395, 2396-2397, 2398-2399, 2400-2401, 2402-2403, 2404-2405, 2406-2407, 2408-2409, 2410-2411, 2412-2413, 2414-2415, 2416-2417, 2418-2419, 2420-2421, 2422-2423, 2424-2425, 2426-2427, 2428-2429, 2430-2431, 2432-2433, 2434-2435, 2436-2437, 2438-2439, 2440-2441, 2442-2443, 2444-2445, 2446-2447, 2448-2449, 2450-2451, 2452-2453, 2454-2455, 2456-2457, 2458-2459, 2460-2461, 2462-2463, 2464-2465, 2466-2467, 2468-2469, 2470-2471, 2472-2473, 2474-2475, 2476-2477, 2478-2479, 2480-2481, 2482-2483, 2484-2485, 2486-2487, 2488-2489, 2490-2491, 2492-2493, 2494-2495, 2496-2497, 2498-2499, 2500-2501, 2502-2503, 2504-2505, 2506-2507, 2508-2509, 2510-2511, 2512-2513, 2514-2515, 2516-2517, 2518-2519, 2520-2521, 2522-2523, 2524-2525, 2526-2527, 2528-2529, 2530-2531, 2532-2533, 2534-2535, 2536-2537, 2538-2539, 2540-2541, 2542-2543, 2544-2545, 2546-2547, 2548-2549, 2550-2551, 2552-2553, 2554-2555, 2556-2557, 2558-2559, 2560-2561, 2562-2563, 2564-2565, 2566-2567, 2568-2569, 2570-2571, 2572-2573, 2574-2575, 2576-2577, 2578-2579, 2580-2581, 2582-2583, 2584-2585, 2586-2587, 2588-2589, 2590-2591, 2592-2593, 2594-2595, 2596-2597, 2598-2599, 2600-2601, 2602-2603, 2604-2605, 2606-2607, 2608-2609, 2610-2611, 2612-2613, 2614-2615, 2616-2617, 2618-2619, 2620-2621, 2622-2623, 2624-2625, 2626-2627, 2628-2629, 2630-2631, 2632-2633, 2634-2635, 2636-2637, 2638-2639, 2640-2641, 2642-2643, 2644-2645, 2646-2647, 2648-2649, 2650-2651, 2652-2653, 2654-2655, 2656-2657, 2658-2659, 2660-2661, 2662-2663, 2664-2665, 2666-2667, 2668-2669, 2670-2671, 2672-2673, 2674-2675, 2676-2677, 2678-2679, 2680-2681, 2682-2683, 2684-2685, 2686-2687, 2688-2689, 2690-2691, 2692-2693, 2694-2695, 2696-2697, 2698-2699, 2700-2701, 2702-2703, 2704-2705, 2706-2707, 2708-2709, 2710-2711, 2712-2713, 2714-2715, 2716-2717, 2718-2719, 2720-2721, 2722-2723, 2724-2725, 2726-2727, 2728-2729, 2730-2731, 2732-2733, 2734-2735, 2736-2737, 2738-2739, 2740-2741, 2742-2743, 2744-2745, 2746-2747, 2748-2749, 2750-2751, 2752-2753, 2

Circumstance	Percentage of respondents (%)
If someone is attacking you	85
If someone is threatening you	75
If someone is harassing you	65
If someone is insulting you	55
If someone is annoying you	45

Country

[illegible]

County of Franklin

In this 23rd day of January, in the year of 1968, before me personally appeared ROBERT WINSTON, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to this instrument, and acknowledged to me that he executed it.

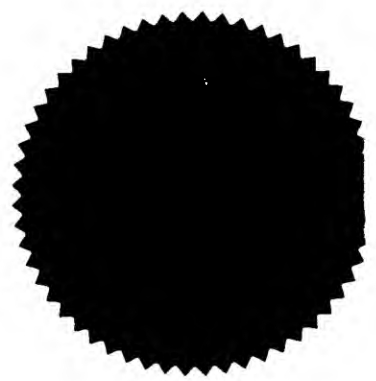
IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal the day and year of this certificate first above written.

Sven Duvall

Notary Public in and for Said  
County and State

1080.

MY COMMISSION EXPIRES  
AT DEATH





UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

U.S. PATENT & TRADEMARK OFFICE  
WASHINGTON, D.C. 20590  
TELEPHONE (202) 279-2000

MAR 11 1999

11AM

INVENTOR: THE EVERETT PLAWOFF  
EDWARD S. PLAWOFF  
444 10TH ST WEP STREET 10TH FL. #  
LOS ANGELES, CA 90015



\*11/13/98\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECEIVED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH FILM IN THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED IN THIS NOTICE. THE INFORMATION CONTAINED IN THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/13/1998

REEL/FRAME: 9899/0661  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST SEE DOCUMENT FOR DETAILS

ASSIGNOR:

READHEAD, CAROL W.

DCC DATE: 01/08/1998

ASSIGNEE:

CEDAR-SINAI MEDICAL CENTER  
9000 BEVERLY BOULEVARD  
LOS ANGELES, CALIFORNIA 90048

SERIAL NUMBER: 09191920  
PATENT NUMBER:

FILING DATE: 11/13/1998  
ISSUE DATE:

TONYA LEE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



# ASSIGNMENT

WHEREAS, Carol W. Winston, a single woman, residing at [redacted] has invented a new and useful TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES and which invention is disclosed in United States Letters Patent was [redacted] by her [redacted] of the date here as this Assignment; and

WHEREAS, Assignor believes herself to be the original, first and joint inventor along with Robert Winston of London, United Kingdom and Dora Hovatta of FINLAND, Espo, Finland, of the invention disclosed and claimed in the application for Letters Patent; and

WHEREAS, Cedars-Sinai Medical Center, a non-profit, public benefit corporation, having a place of business at 8630 Beverly Boulevard, Los Angeles, California 90048, Assignee, desires to acquire by formal, recordable assignment the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world;

NOW, THEREFORE, in consideration of the sum of Ten Dollars \$10.00 and of other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor hereby sells, assigns and transfers to Assignee, the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world, including the right to file foreign applications directly in the name of Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignor agrees that, upon request and without further compensation, but at no expense to Assignor, she and her legal representatives and assigns will perform all lawful acts, including the execution of papers and the giving of testimony, that might be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for the invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to the invention, the application, and any Letters Patent granted for the invention in the United States and throughout the world.

Assignor represents and warrants that she has not granted and will not grant to others any rights inconsistent with the rights granted by this Assignment.

Assignor authorizes and requests the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for the invention, whether on the application or on any subsequently filed division, continuation, continuation-in-part or reissue

April 1998. Assignments of the said rights and interests, as the  
assignment of the entire interest in the invention.

Assigner further certifies and represents invention  
followed the serial notice and filing date of the application,  
when initially known:

Serial No. 09/19,920 Filing Date Nov 13, 1998

IN WITNESS WHEREOF, Assigner has executed this  
Assignment.

Assigner

Date: Nov 13, 1998

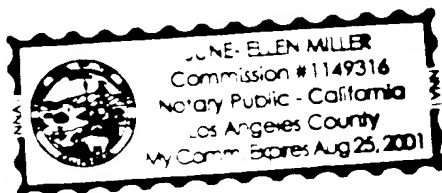
Carol W. Readhead  
Carol W. Readhead

State of California

County of San Diego ss.

1998 On this 5th day of January, in the year of  
~~1998~~, before me personally appeared CAROL W. READHEAD,  
personally known to me or proved to me on the basis of  
satisfactory evidence to be the person whose name is subscribed  
to this instrument, and acknowledged to me that he executed it.

IN WITNESS WHEREOF, I have hereunto set my hand and  
affixed my official seal the day and year of this certificate  
first above written.



June-Elleen Miller  
Notary Public in and for Said  
County and State

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Carol W. Readhead, Robert Winston, and Outi Hovatta  
Serial No. Unassigned  
Filed on: Herewith

Title: TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR  
GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(b)—INDEPENDENT INVENTOR**

As a below named inventor, I hereby state that I qualify as an independent inventor, as defined in 37 CFR 1.9(c), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office, with regard to the invention described in the specification filed herewith, with title as listed above.

I have not assigned, granted, conveyed or licensed, and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person had made the invention, or to any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

No person, concern or organization exists to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention.

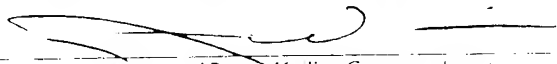
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

OUTI HOVATTA

  
\_\_\_\_\_  
Signature of Inventor

Date 31/12/1998

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.			P07 41794
Applicants: Carol W. Readhead, Robert Winston, and Outi Hovatta			
Serial No. NOT ASSIGNED	Filing Date NOVEMBER 13, 1998	Examiner NOT ASSIGNED	Group Art Unit --
Title: Transfection, Storage and Transfer of Male Germ Cells for Generation of Transgenic Species & Genetic Therapies			
<p>           I hereby certify that this <u>Statement Claiming Small Entity Status</u>  <i>(Identify type of correspondence)</i> </p> <p>           is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under            37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  <u>November 13, 1998</u>  <i>(Date)</i> </p> <p style="text-align: right;"> <u>ANN WEISS</u>  <i>(Typed or Printed Name of Person Mailing Correspondence)</i> </p> <p style="text-align: right;">   <i>(Signature of Person Mailing Correspondence)</i> </p> <p style="text-align: right;"> <u>EL 149 134 734 US</u>  <i>("Express Mail" Mailing Label Number)</i> </p> <p style="text-align: center;"> <b>Note: Each paper must have its own certificate of mailing.</b> </p>			

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicants: Carol W. Readhead, Robert Winston, and Outi Hovatta			Date: P07 41794
Serial No. NOT ASSIGNED	Filing Date NOVEMBER 13, 1998	Examiner NOT ASSIGNED	Group Art Unit --
Invention: Transfection, Storage and Transfer of Male Germ Cells for Generation of Transgenic Species & Genetic Therapies			
<p>I hereby certify that this <u>Power of Attorney By Assignee Under Rule 32</u>  <i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  <u>November 13, 1998</u>  <i>(Date)</i></p> <p style="text-align: right;"> <u>ANN WEISS</u>  <i>(Typed or Printed Name of Person Mailing Correspondence)</i>    <u>[Signature]</u>  <i>(Signature of Person Mailing Correspondence)</i> </p> <p style="text-align: right;"> <u>EL 149 134 734 US</u>  <i>(Express Mail Mailing Label Number)</i> </p> <p style="text-align: center;">Note: Each paper must have its own certificate of mailing.</p>			

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**REVOCATION OF PRIOR POWERS AND NEW POWER OF ATTORNEY**

Assistant Commissioner for  
Patents  
Washington, DC 20231

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8	
I hereby certify that this document is being deposited on this date with the U.S. Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.	
<i>[Signature]</i>	Date: 5-2-01

Honorable Sir:

Cedars-Sinai Medical Center, having a place of business at 8700 Beverly Boulevard, Suite 2112, Los Angeles, California 90048-1888, and being the owner of the entire right, title and interest to the patent applications identified on the attached list, hereby revokes all previously given powers of attorney for the applications listed on attached sheet, and hereby appoints the following:

<u>Attorney</u>	<u>Registration No.</u>
Edward G. Popleweld	33,438
Denise L. McKenzie	43,780
Nisan A. Steinberg, Ph.D.	40,348

all of whom are members in good standing of a state bar, and are members of the law firm of Sidley Austin Brown & Wood, 555 West Fifth Street, Los Angeles, California 90013-1010 at (213) 898-8000, its representatives with full power of substitution and revocation, to transact all business in the United States Patent and Trademark Office connected therewith.

Effective immediately, please change the correspondence address related to the identified patent applications on the attached sheet:

from: Pretty, Schroeder, et al.  
444 South Flower Street  
Los Angeles, California 90071

to: Edward G. Popleweld, Esq.  
Sidley Austin Brown & Wood  
555 West Fifth Street  
Los Angeles, California 90013-1010

and direct all future correspondence to the above address; and refer all telephone communications to Edward G. Popleweld at (213) 898-8801.

**CEDARS-SINAI MEDICAL CENTER**

Dated: May 2, 2001

By: *[Signature]*  
Peter E. Bravenant  
Senior Vice President for Legal Affairs and General Counsel